

## Program Report Card: Ethics Education (Connecticut Office of State Ethics)

*Quality of Life Result:* Connecticut residents will have ethical government at the state level.

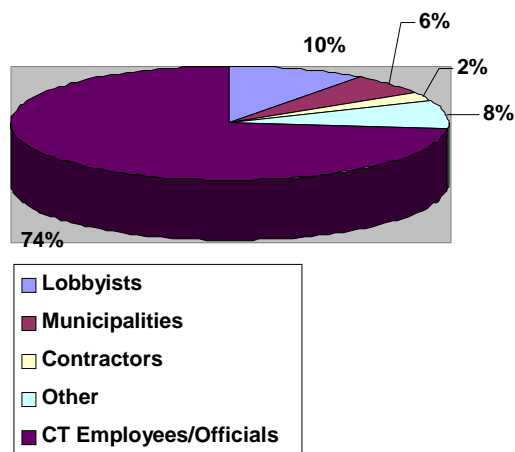
*Contribution to Result:* Effectively educating public officials, state employees, lobbyists and other groups about the Code of Ethics will increase awareness of the ethics laws and increase compliance with those laws, resulting in a more ethical government for the citizens of the state. (Increased awareness may also lead to an increased number of complaints and/or enforcement actions, which may appear to suggest that those in state government are actually less ethical – this can be a dilemma in applying these measures to an organization that seeks to prevent certain behavior.)

*Partners:* State agency ethics liaisons/compliance officers, Office of Legislative Management, Connecticut Humanities Council, Department of Transportation, media contacts.

**Performance Measure 1:** Percentage of regulated persons reached through in-person training.

### Baseline Data: (for July – December, 2009)

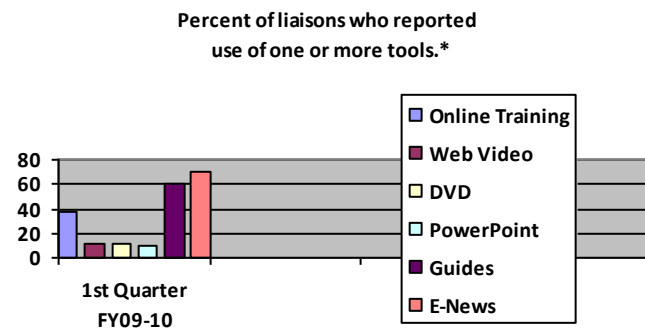
In 2009, the OSE projects that it will have conducted 32 in-person training sessions and reached approximately 900 individuals at the percentages noted below (based on trainings that occurred and were scheduled prior to 11/20/09. These numbers could increase as more trainings are scheduled).



**Performance Measure 2:** Percentage of state employees who use supplemental training tools.

### Baseline Data:

In the 1<sup>st</sup> Quarter FY09-10, 255 individuals or groups viewed the web-streaming video and the online training received 386 visitors



\*41 out of 86 liaisons responded, 6 reported using no tools.

**Story behind the baseline:** The OSE realizes that the above numbers constitute a “how much” measure. Note that the approximately 662 state employees reached equals about 1.2% of the total state employee population. That would be a “how well” indicator, but not the one that is the most useful. There are approximately 2,173 managers in the state. If the 662 reached were all those high-level targets, the OSE would have reached 31% of presumed decision-makers, resulting in a more meaningful “how well” measure. The agency does not, however, have that specific data at this time. Determining the make-up of the target population and collecting that data is part of the OSE’s data development project.

**How Well/Better Off:** The OSE’s development agenda includes research on the creation of a post-training evaluation (for level of knowledge and behavior/opinions).

Connecticut General Statutes § 1-81 (5) states that the Office of State Ethics shall provide yearly training to all state employees regarding the Code of Ethics. The OSE employs one staff member for education, the Ethics Program Manager. There are approximately 55,000 state employees at any given time. The ratio of 1:55,000 makes it impossible for each state employee to be reached in person annually, especially considering that legislators, lobbyists and contractors also fall under the OSE’s purview and training is provided to those groups as well. The numbers for 2009 are significantly lower than expected. This shortfall can in large part be attributed to the state budget crises. In addition, while the OSE is mandated to train, there is no reciprocity on the part of the agencies – they have no mandate to ensure such training.

**Proposed actions to turn the curve:** Seek approval in the mid-term budget adjustment for the addition of a Legislative Liaison/Education staff member. Another education staff member will dramatically increase the number of in-person sessions the OSE can offer. The agency will focus on “cascade training” to provide each agency’s ethics liaison and management staff (the “high-level targets”) with in-person training and will continue to offer training for other agency personnel. The agency will investigate methods of tracking, such as through the CORE system, to ensure that all new state employees receive in-person training, high-level employees are reached once a year, and other employees receive in-person training at least once every three years (or an alternate tier system to be determined, perhaps using SFI filers as another target group).

**Story behind the baseline:** The OSE understands that the above numbers provide “how much” measures. The agency has not had the resources to effectively gather data for a “how well” baseline, but doing so as described below is part of the OSE’s data development project. Given the limited staff resources of the OSE for in-person training, providing supplemental training opportunities for state employees is necessary and efficient. The OSE provides free access to the tools noted above. The best way to determine the state employee usage of these tools is through the liaisons. It is not their statutory duty to make use of, or report their use of, such tools however, so the agency’s ability to gather complete and accurate data is nearly impossible. Further, while a liaison might pass along the e-newsletter, it is impossible to accurately tally how many individuals (and at what level) read it. Technology can tell us how many unique visitors clicked on the web-streaming video, but there is no way for us to know whether one individual viewed the video, three people gathered around a screen, or it was broadcast for a room of 25.

**How Well/Better Off:** The OSE will explore the use of free/low cost online survey tools to quarterly poll the ethics liaisons about their use of such tools, including number of state employees who used them. Survey questions will attempt to determine whether the employees, following their use of the tool(s), are more knowledgeable about the Code of Ethics. This will get the agency to a useful “how well” measure. Note, however, that the OSE cannot compel the liaisons to respond to such polls.

**Proposed actions to turn the curve:** The OSE will continue to leverage technology to provide low-cost alternatives to in-person training. The OSE will announce the existence of the tools on its website and in communications to the liaisons. In 2010, the OSE will work with the Department of Transportation’s Communication Team to create a new and improved web-streaming video and DVD through a partnership at no cost to the OSE. The OSE will explore offering the DVD free to all state agencies, as well as explore use of the state e-mail system to send broadcast e-mails to all state employees.